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MISUSE OF FEDERAL FUNDS PROVIDED FOR THE MIDWEST
REGIONAL CONFERENCE ON SCIENCE, TECHNOLOGY, AND STATE
GOVERNMENT--NATIONAL SCIENCE FOUNDATION
ENVIRONMENTAL CONTROL ADMINISTRATION, DEPARTMENT
OF HEALTH, EDUCATION, AND WELFARE

B-171679
5-3-71

RELEASED

RESTRICTED



Report to Senator William Proxmire pursuant to his request.

The report contained information concerning Mr. William Karp's AGC 00095 letter which alleged that the National Science Foundation and the Environmental Control Administration, Department of Health, Education, and Welfare, had collaborated with Governor Richard B. Ogilvie of the CNB 00703 State of Illinois in the Misuse of Federal funds provided for the Midwest Regional Conference on Science, Technology, and State Governments.

EPA AGC 00024

9-14-77

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Dear Senator Proxmire:

This is in further response to your request of January 5, 1971, concerning Mr. William Karp's letter of November 19, 1970, which alleged that the National Science Foundation (NSF) and the Environmental Control Administration (ECA), Department of Health, Education, and Welfare, had collaborated with Governor Richard B. Ogilvie of the State of Illinois in the misuse of Federal funds provided for the Midwest Regional Conference on Science, Technology, and State Government. (The activity of ECA which cosponsored the conference was transferred under Reorganization Plan No. 3 of 1970 to the Environmental Protection Agency.)

Additional information provided to us by your office regarding the allegation indicated, more specifically, that Mr. Karp's principal concern was not the misuse of Federal funds but the fact that NSF had awarded a grant to support the Midwest Conference on the basis of a proposal that included statements which he considered to be plagiarized from a proposal he had submitted earlier to NSF.

The Midwest Conference was one in a series of four regional conferences sponsored jointly by NSF and other Federal and local agencies. The three other regional conferences involved the southern, eastern, and western sectors of the country. The purpose of these conferences was to improve the utilization of regional science and technical resources in solving problems of State governments.

The Midwest Conference held November 17 to 19, 1970, in Arlington Heights, Illinois, was financed jointly by NSF, ECA, and the State of Illinois. NSF and ECA each provided \$15,000. Under an agreement between the two Federal agencies, ECA transferred its share of the funding to NSF which awarded grant GT-8 in the amount of \$30,000 for support of the conference. In addition, the State of Illinois appropriated \$10,000 for this purpose. Representatives, including Governors, State science advisors, and State legislators, from 14 midwestern States participated in the Midwest Conference.

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The NSF grant for the Midwest Conference was awarded on June 10, 1970, to the Illinois Board of Higher Education* on the basis of a proposal submitted to NSF on April 8, 1970. The proposal listed, in addition to the Illinois Board of Higher Education, the Illinois Commission on Technological Progress and the Illinois Science Advisory Council as applicants for the grant.

Mr. William Karp submitted a similar proposal to NSF by letter dated April 22, 1970. Mr. Karp's letter stated that he was submitting his proposal because his comparison of the Board of Higher Education proposal with one he had submitted informally "more than a year and a half ago" (which would be about October 1968) to Dr. M. Frank Hersman, Head, NSF Office of Intergovernmental Science Programs, entitled "Tentative Proposal: Midwest Regional Conference on Science, Technology and State Government" showed that more than 90 percent of the contents of the tentative proposal was used in the proposal submitted by the Board of Higher Education. Mr. Karp's letter stated further that neither he, as author of the tentative proposal, nor the members of the Illinois Commission on Technological Progress, for whom the proposal was prepared, had authorized the use of the tentative proposal.

In view of the question raised by Mr. Karp concerning the right of the Board of Higher Education to use the tentative proposal, Dr. Hersman requested comments on the matter from Governor Ogilvie and Illinois State Senator John A. Graham, Chairman of the Illinois Commission on Technological Progress, by a jointly addressed letter dated April 29, 1970.

The Governor's reply dated May 11, 1970, to Dr. Hersman stated that:

**** The proposal submitted by *** the Board of Higher Education certainly does include some pages of material taken directly from the tentative proposal submitted to the Commission as a draft a few years ago by Mr. Karp.

Upon examination you will discover that those portions are the recitation of the history of that commission which Mr. Karp served for four years ***. It seems totally appropriate to me that *** [the Board's] proposal, which is a joint effort building upon the work done over the past several years by the Illinois Commission on Technological Progress, would in fact use their reports and drafts. Activities undertaken for a public body such as the Commission on Technological Progress of course become part of the public domain as a contribution to the formulation of public policy and retain no 'proprietary' nature."

On May 22, 1970, Senator Graham advised Dr. Hersman that the proposal submitted by the Illinois Board of Higher Education was:

"*** a public document of the State of Illinois created under the auspices of the legislative and executive branches of our state government, and neither it nor any previous drafts or materials created by our Commission, its members, or its staff, retain any 'proprietary' nature or personal privilege."

A copy of the tentative proposal, which was informally submitted to NSF about October 1968, noted that it was submitted on behalf of the commission and not Mr. Karp who was the technical consultant to the commission. Also it stated that:

"The genesis of this proposal is found in the history of the State of Illinois Commission on Technological Progress. The work of the Commission between 1965 and 1967 led to a report issued April 1, 1967, that included among its 22 recommendations:

...that a series of science and technology conferences be convened by a succeeding... Commission ***.

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"*** Subsequently, a proposal for a Conference on Science, Technology and State Government was drafted at the request of the Chairman, State Senator John A. Graham, and members of the Commission by the Commission's Technical Consultant, William Karp."

Because the commission was a cosponsor of the successful proposal submitted to NSF by the Board of Higher Education on April 8, 1970, we do not see any objections to the use of the tentative proposal, prepared by Mr. Karp for the commission, in preparing the successful proposal.

We plan to make no further distribution of this report.

Sincerely yours,



Assistant Comptroller General
of the United States

The Honorable William Proxmire
United States Senate